



***2018-2019 REGIONAL PUBLIC HEALTH
EMERGENCY PREPAREDNESS WORK
PLAN GUIDANCE DOCUMENT***

***2017-2022 HPP – PHEP COOPERATIVE AGREEMENT, BUDGET PERIOD 1
SUPPLEMENTAL***

VERSION- DRAFT 2.2.3

July 10, 2018

PREPAREDNESS PROGRAM, BUREAU OF COMMUNITY HEALTH SYSTEMS, KDHE
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1. *Executive Summary*

This guidance document is designed to serve as an implementation guide for the work plan and activity completion requirements for Budget Period 1 Supplemental (BP1 SUPP) for the period of 2018-2019. Under the administrative authority of the Centers for Disease Control and Prevention (CDC) and the Office of the Assistant Secretary of Preparedness and Readiness (ASPR), this budget period is considered as a supplemental to Budget Period 1 (BP1) and includes additional requirements originally scheduled for Budget Period 2 (B2) to be completed. Information provided to the KDHE Preparedness Program indicates that this will be the final year of a combined cooperative agreement with future budget periods being separate but will continue to be aligned. The PHEP will continue to focus on the continued development of community partnerships as part of BP1 SUPP and following years. As the cooperative agreement awardee, KDHE will continue to make diligent efforts to help assure that work plan items for local public health departments are within the cooperative agreement requirements, aligned with local public health department activities, and emergency management practices.

1.1 *General Sub-Awardee Information*

The following information is provided to all preparedness program participants. Please reference this information as needed:

The following information is provided to all preparedness program participants. Please reference this information as needed:

1. When submitting any documentation, ensure that the agency name and a point of contact are included within the body of the email so that proper credit is awarded. If submitting information for more than one agency, provide the information noted above for each entity.
2. Deadlines are set as outlined in the work plans and will not be extended. The established dates allow the maximum time needed to complete the activity by the sub-awardee and allow KDHE Preparedness to review and request revisions if needed.
3. Work plan items completed prior to the designated deadlines may be submitted to the KDHE.preparedness@ks.gov email address. In the email header, please note the work plan item number and task being submitted. All submitted documents must be dated.
4. The following statement must appear on **ALL** publications created that are related to this cooperative agreement. This applies to all documents, educational materials, deliverables, and related supporting information:

“This publication was supported by the Grant or Cooperative Agreement Number, NU90TP921936, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.”

1.2 Sub-Awardee Submission Requirements

Affidavits of Expenditures (AOEs) and Work Plan Progress Reports are due:

- **Quarter 1** (July 1, 2018 – September 30, 2018) – due October 15, 2018
- **Quarter 2** (October 1, 2018 – December 31, 2018) – due January 15, 2019
- **Quarter 3** (January 1, 2019 – March 31, 2019) – due April 15, 2019
- **Quarter 4** (April 1, 2019 – June 30, 2019) – due July 15, 2019

Sub-awardees will be required to submit their AOE's using the *KDHE Affidavit Form*. Preparedness Program staff will review affidavits to ensure allowable items are being purchased. KDHE Fiscal Management will review for error/accuracy and verify that funding is being used as allocated. Payments will only be made after the Preparedness Program approves payment, which will not occur until the quarterly work plan progress report has been submitted to KDHE. Payments will be made by either electronic deposit or a paper check will be sent via mail. If funding has been exhausted before the fourth reporting quarter, sub-awardees must still submit affidavits of expenditure each reporting period even if the fields are zero.

1.3 Budgetary Information

All changes to the approved budget **must be approved** by KDHE Preparedness **before** the expenditure is made. To approve a change, KDHE Preparedness will need the following information:

- The amount of the expenditure and what percentage of change was made to the total budget.
- The justification for the expenditure (must be tied to a capability or work plan activity).
- Projected date of the expenditure (trainings and equipment).

Budgetary changes 25% or **greater** or the addition of any new activity to a sub-awardee budget will require the submission of a revised budget. This requirement includes trainings, equipment purchasing, and activities associated with the contracted work plan.

Example 1 would be a case where the sub-awardee would need to submit a revised budget because the activity was not in the original budget:

- **Example 1-** The current submitted budget did not include any contracted services. The sub-awardee is now requesting approval to employ a contractor to assist with un-foreseen services.

Example 2 would be a case where the sub-awardee would not need to submit a revised budget because it is for an existing budget activity:

- **Example 2-** The budget included training for three staff members to attend at one location. Changes in the training now have it being conducted at another location and the sub-awardee has indicated there will be four not three attending.

If the accumulative change to the budget remains under 25%, a budget revision will not be required. KDHE Preparedness will provide a template for the sub-awardee to use when a complete revision is **not** necessary.

All work plan progress reports and all reporting deliverables are to be submitted via email to KDHE.Preparedness@ks.gov.

PHEP Documents can be found http://www.kdheks.gov/cphp/lhd_resources.htm

1.4 Sub-Awardee Meals, Travel, and Lodging Information

Preparedness funds may be utilized to support travel for sub-awardee work plan related activities. To assure consistency, KDHE will provide reimbursement for hotels and per diem for overnight travel consistent with applicable GSA rates for the destination. Maximum lodging and per diem rates (Meals and Incidental Expenses) can be located at <https://www.gsa.gov/travel/plan-book/per-diem-rates>. For all travel, departure and arrival times will be required for per diem calculation. All travel **must be associated** with a work plan activity approved by KDHE Preparedness Program prior to the travel dates.

For single day meal allowance must meet the following criteria:

- The travel is supported by an associated work plan activity and the individual's work day is extended for three hours or more beyond the normal work day.
- The destination of travel must be 30 or more miles away from the individual's work station.
- KDHE Preparedness Program must provide prior approval to the individual including individual's work station, destination, and estimation of work day length.

<i>Reimbursement % of daily per diem</i>		
Breakfast	12:00 am to 11:00 am	15%
Lunch	11:01 am to 4:00 pm	35%
Dinner	4:01 pm to 11:59 pm	50%

Table 1

Hotel rates and travel rates can also be referenced at <https://www.gsa.gov/travel/plan-book/per-diem-rates>. In all cases, hotel pricing should be completed using this GSA resource first. If the hotel is not available at the GSA rate due to being unavailable, the maximum lodging allowed for the traveler is reimbursed for single occupancy only and must be pre-approved by KDHE Preparedness. If pre-approval is not obtained, then reimbursement will be at the GSA rate. No allowance for any tips is included within this rate. Taxes associated with lodging shall be reimbursed in addition to the established lodging expense limitation:

<i>Standard Lodging Rates after GSA</i>	
Standard Daily Lodging Rate	\$91.00
Conference Lodging qualified under <i>K.A.R. 1-16-18a*</i>	Actual

*Actual conference lodging may be paid without limit if approved by KDHE in advance of the need.

Table 2

1.5 Training Guidance

To ensure that training is being conducted in a manner that supports the activities of the contracted work plan and be tied back to a capability, all trainings that are conducted by the sub-awardees must utilize *Kansas' Online Learning Management System, Kansas Trainingfinder Realtime Integrated Network* (KS-Train). This is the primary registration platform for all trainings and exercises financed with preparedness funds provided pursuant to this agreement.

1.5.1 Course Reporting Process

The course reporting requirements identified below will need to be provided to KDHE Preparedness no later than **5 business days** after the training is completed. Note: this information will be used to supplement the information that is required by KS-Train and will be used to help develop other trainings during future work periods. This enhanced level of reporting is also needed to satisfy KDHE Preparedness's reporting requirements to the federal stakeholders.

The following information will be provided to KDHE Preparedness:

1. Attendee sign-in sheets
2. Finalized expenditure report (course specific)

1.6 Compliance Statement

Under KDHE Preparedness Program's monitoring program, the *Preparedness Cooperative Agreement Compliance Program, Compliance in Real Time* (PCACP-CRT), the identified work plan outputs and outcomes found in this guidance document will be provided to KDHE Preparedness either by their established due dates or as part of the contract mandated quarterly reporting requirement. KDHE Preparedness Compliance will review all submitted work plan documentation, benchmark deliverables, and additional supporting documentation to gauge programmatic compliance and activity completion progress. The Compliance Coordinator will notify sub-awardees of any findings that were discovered during these reviews, outlining the nature of the finding, explaining what action is needed to correct the finding, and the date the action needs to be completed and then validated by KDHE Preparedness Compliance.

Under this same mandate, KDHE Preparedness can ask for supplemental information or outcomes, either to satisfy requests for enhanced reporting requests from the state's federal partners or to provide further confirmation by the sub-awardee of the completion of a work plan activity. The sub-awardees are responsible for providing all outcomes to KDHE Preparedness, on-time and complete, to receive proper credit for activity completion.

1.7 HCC Contact Information

The following is a listing of the Healthcare Coalition (HCC) Coordinators who presently represent the seven HCCs within the state. Their point of contact information is also provided:

Kansas City Metro Healthcare Coalition	Steve Hoeger	ksmetrohcc@gmail.com
North Central Healthcare Coalition	(PENDING)	(PENDING)
Northeast Healthcare Coalition	Danielle Marten	nekshcc@outlook.com
Northwest Healthcare Coalition	(PENDING)	(PENDING)
South Central Healthcare Coalition	(PENDING)	(PENDING)
Southeast Healthcare Coalition	Fred Rinne	SEKHCC@twinmounds.com
Southwest Healthcare Coalition	Karen Luckett	karenluckett@centura.org

Table 3

1.8 Regional PHEP Contact Information

The following is a listing of the Regional PHEP Coordinators who presently represent the fifteen public health regions within the state. Their point of contact information is also provided:

Central Kansas Region	Jason Tiller	jason.tiller@sschd.org
East Central Kansas Public Health Coalition	Carl Lee	clee@coffeyvilleks.org
Kansas City Area Coalition 15	Stephen Maheux, MPH	stephen.maheux@joco.org
Kansas South-Central Metro	Thomas Langer	langert@cowleycounty.org
Lower 8 of Southeast Kansas	Lee Miller	lthkamiller@gmail.com
North Central Kansas Public Health Initiative	Sherry Angell	angell.sherry@gmail.com
North West Bioterrorism Region	Michelle Billips (Interim)	mbillips@grahamcountyhealth.com
Northeast Corner Regional Initiative	Quinton Unruh	quinton.unruh@sncu.us
South Central Coalition	Virginia Downing	coats1960@gmail.com
Southeast Kansas Multi-county (SEKMC)	Susan Belt	susanannbelt@gmail.com
Southwest Kansas Health Initiative	Richard Everett	richard@swkhi.org
Southwest Surveillance	Virginia Downing	coats1960@gmail.com
West Central Public Health Initiative	Cindy Mullen	cmullen@wcphi.onmicrosoft.com
Western Pyramid Public Health Region	Richard Everett	richard@swkhi.org
Wildcat Region	Andrew Adams (Interim)	aadams@rileycountyks.gov

Table 4

1.9 Budget Period Insights

At this time, it is not known what changes the CDC-ASPR plan on making beyond what is already known from this budget period's supplemental documentation. It is known that this supplemental budget period represents the final year of a combined cooperative agreement project period. What is not fully known is whether the current project period will continue with major changes applied to the programs or if a new project period will be started. As always, KDHE Preparedness will continue to provide information regarding any changes made at the federal level to the program's sub-awardees and various other external stakeholders.

1.9.1. Carry-over Activities

At this time, Budget Period 1 Supplemental will not contain any carry over activities from Budget Period 1. There are numerous activities that have been identified as being annual review activities.

1.9.2. Benchmark Activities

At this time the Budget Period 1 Supplemental will include the following benchmark activities that are tied to the performance measures identified by the FOA and listed in the work plan:

1. **Item 10-** Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will take the FEMA online PIO Training and provide proof of training.
2. **Item 11-** Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will participate in a KDHE webinar offering detailing proper use of social media in time of emergency.

2. Regional PHEP Work Plan Requirements

The work plan for this budget period contains familiar and new activities to complete. In general, this year is considered a continuation to budget period 1 (2017-2018) due to changes that are going to be purposed for Budget Period 3 (BP 1701-03). The source materials will be the *2017-2022 HPP – PHEP Cooperative Agreement Grant*, the *2017-2022 PHEP Performance Measures Specifications and Implementation Guidance* document as well as various other PHEP supporting documents that were provided for the execution of the contracted activities. (please refer to the *Reference section* for details)

2.1 Work Plan Overview

The following is an activity-by-activity breakdown of the Regional PHEP work plan for the 2018-2019 budget period. The programmatic task descriptions and notes seen within each block denote how the information appears within the work plan. The provided information regarding how to accomplish the work plan activity, additional supporting information about the activity, or additional reporting requirements for each work plan item will be addressed below each activity block. **Bolded information** or information that appears in **red** will denote critical information that either needs to be further validated with supporting documents, provide additional attendance confirmation, or identifies a deadline that needs to be met to receive the proper credit for the activity's completion. Finally, the compliance requirements will provide the sub-awardee with the specific information that will be required for reporting validation of the work plan activity. The work plan activities are as follows:

Item 1

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will:

- A. Assist local health department staff in the development, review, and updating of all local plans
- B. Provide general technical assistance and training to local health departments
- C. Work with local health departments and KDHE staff to identify training gaps at the local level
- D. Provide suggestions and/or feedback to KDHE regarding local priorities, issues, etc.

Notes:

- 1. All TA visits/assistance must be recorded on the KDHE TA Visit Report Template and submitted with the work plan on a **quarterly basis**.
- 2. If technical assistance was not provided during the quarter, a report stating “*No assistance provided*” must be submitted with the quarterly reporting.

This work plan item is retained as this is the core of the regional coordinator’s job. While the coordinator may not be able to answer specific questions regarding a certain activity, completion requirement, or the intent behind the activity, the coordinators should be able to answer generalized questions or assist in the completion of documents, templates, and deliverables. All these instances are examples of technical assistance. KDHE Preparedness will not require a minute-by-minute accounting of the coordinators time spent with region members, but there needs to be accounting for their time assisting the health departments.

When recording technical assistance on the *KDHE TA Visit Report*, be certain to identify the type of assistance that was rendered, and an approximate time spend with that member or members along with the other requested information. Regarding multiple e-mails or multiple phone calls on related topics, there does not need to be an entry for each e-mail or call. It is recommended that the members contacted be recorded, but only as one entry and several.

Compliance requirements:

- 1. All TA templates need to be provided to KDHE Preparedness with each quarterly reporting. The provided information should clear and concise. The more information provided, the better performance picture KDHE Preparedness and the state’s federal partners will have regarding programmatic progress.
- 2. IF the coordinator did not provide any assistance during the quarter, a report stating “*No assistance required*” needs to be included with the quarterly reporting to be compliance with this contracted work plan activity. It is strongly recommended that this report be on the *KDHE TA Visit Report* as a single-entry report.

Item 2

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will:

- A. Convene, at a minimum, quarterly meetings of all the local health departments within the region and maintain minutes of the meetings and attendee lists using the KDHE Meeting Report Form (or a format containing the same information).
 - Meetings must be set up in KS-Train at **least 30 days** prior to the scheduled date so that the required registration requirement can be met.
 - Within **7 business days**, following the date of the meeting, a draft of the meeting minutes must be provided to all members and KDHE.
 - Retain a copy of all meeting minutes **for five years**.

Notes:

1. Provide the KS-TRAIN course number and include KDHE on all of the draft minutes emails.
2. KDHE must be notified of any changes to meetings dates or formats as they occur.

Source: Capability 1: Community Preparedness

The next to keep the regional membership informed continues to be a major emphasis of the work plan. Quarterly meetings will still need to be conducted by the regional membership. Some changes were made to the reporting requirements. They are as follows:

1. All regional PHEP need to be set up **at least 30 days** prior to the scheduled date. This stipulation will continue to satisfy the registration requirement. Meeting date or format changes will requirement KDHE Preparedness notification ahead of time.
2. The coordinator has **7 days** rather than 5 days following the date of the meeting to submit draft meeting minutes to the members.

Compliance requirements:

1. The coordinator shall ensure that KDHE Preparedness is included on all draft email traffic between the coordinator and members. As a compliance requirement, this will allow KDHE Preparedness to better validate the involvement of the membership during the meetings.
2. The coordinator will need to ensure the draft minutes are provided to the members no later than 7 days after then meeting date. Lateness will require a statement of lateness to Compliance.
3. To be compliant with work plan activity Item **13C**, all records of the meetings (meeting agenda, draft meeting minutes, final minutes, etc.) need to be retained by the coordinator for no less than 5 years.

Item 3

Description of Task:

By **September 30, 2018**, an *Annual Plan of Action* (utilizing the *KDHE Annual Plan of Action Template*), outlining the goals to be accomplished at the Regional meetings throughout the year, will be provided to KDHE.

At a minimum the *Annual Plan of Action* must include the following:

- Tasks to be accomplished at the meetings with timeframes (trainings, exercises, etc.)
- Proposed outcomes and actions for the above-mentioned tasks.

Submit an updated *Annual Plan of Action* showing what has been accomplished and upcoming dates, to KDHE with **each** quarterly work plan. For completed tasks, notate if the proposed outcomes and actions were met and if not what the actual outcomes and actions were.

Notes:

1. To be completed during the Quarter 1 Preparedness Regional meeting.

Source: pending

The plan of action is a returning activity that serves to help the PHEP region identify and prioritize activities during the meetings. The template that is due on **September 30, 2018** is the completed planning list for the entire budget period. The regions will be required to report their progress in completing the listed tasks and activities during the year. Reports outlining what was planned and what was completed during the timeframes outlined in the plan will be needed as part of the PHEP region's quarterly reporting. The identified outcomes for those completed activities will need to be submitted wither as they are completed or quarterly for validation. Please note this is not to be confused with the *MCM Action Plan* that is generated by the CRIs.

Compliance requirements:

1. The regional PHEP coordinator will need to submit a completed budget period plan of action to KDHE Preparedness no later than **September 30, 2018**. Please submit this annual plan on the *KDHE Annual Plan of Action Template*. The information on the template will need to be per the instructions of the contracted work plan activity.
2. The regional PHEP coordinator will need to submit plan of action updates or progress reports quarterly and will need to include the outcomes for those completed actions for validation by KDHE Preparedness.

Item 4

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will attend in person a healthcare coalition meeting(s) at least quarterly. Regional Coordinators, or designated subject matter expert(s) for regions without a coordinator, whose region supports multiple HCCs, must attend each HCC meeting within their region, or send a representative.

Participation will be validated through coalition meeting sign-in sheets provided to KDHE by the Healthcare Coalition Coordinator.

Notes:

1. Register for the Meeting on KS-Train

Source: Capability 1: Community Preparedness

Item 4 explains the coordinator's requirement to attend all healthcare coalition (HCC) meetings that will occur throughout the budget period. As stated, should there be more than one coalition within the regions boundaries, the coordinator will need to attend both to receive the proper credit for completion. Validation will be through the provided sign-in sheets that will be provided by the HCC coordinator.

The change associated with this work plan activity is the elimination of the 2-business day reporting requirement. Despite this change, it is strongly recommended that the coordinator still share the contents of the HCC minutes with the Region to maintain proper situational awareness.

Compliance requirement:

1. The coordinator will need to attend at least one HCC meeting quarterly. In the case of the PHEP region being in more than one coalition area, the coordinator will need to attend at least one meeting per quarter for that coalition.
2. The coordinator will ensure that they register on KS-TRAIN to remain compliant with the registration requirement.
3. Validation of attendance will be through a review of the coalition's sign-in sheets that are submitted either quarterly or per KDHE Preparedness instructions.

Item 5

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will ensure that each HCC Coordinator has up to date email addresses for each member of your PHEP Region so that the HCC Coordinator can include them in the email distribution list for the HCC meeting minutes.

Source: Capability 1: Community Preparedness, Capability 6: Information Sharing

This activity is geared to ensuring that the membership of the PHEP region has the most up-to-date contact information available should the need arise to have to use it. The format for this contact roster can be at the coordinator's discretion but should include name, agency, and current email address. This should be done within the first quarter of the budget period and then shared with KDHE Preparedness, validating that this update was completed and giving all levels of the public health spectrum updated contact information.

Compliance requirement:

1. The coordinator will need to provide a template to the Region members that they can update and return to the coordinator. This template needs to be shared with KDHE Preparedness no later

than the end of the first quarter to provide validation that this activity was completed. This request is in accordance with Work Plan Activity 12.

Item 6

Description of Task:

On a date TBD, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator **must** attend the annual Training and Exercise Planning Workshop to update the KDHE *Multi-year Training and Exercise Plan* (MYTEP) for inclusion in the Grant Application for the upcoming budget period.

The MYTEP for this year will be scheduled towards the end of the budget period in to plan for the following budget period. All coordinators will be required to attend this event and need to plan accordingly. This event will be conducted at KDHE in Topeka. Attendance will be validated with sign-in sheets. This will be the opportunity for the coordinators to speak with the Preparedness staff regarding training opportunities, training plans, and received updated exercise information.

This meeting will be developed by the Training Coordinator and the Exercise Coordinator and will be announced once it has been finalized and available on KS-Train.

Compliance requirements:

1. The coordinators will need to attend this event to be compliant with this work plan activity. Meeting date and agenda will be announced once the meeting plan is finalized.
2. The coordinators will need to ensure that they sign up for this meeting on KS-Train to receive full credit for attending these trainings and are encouraged to monitor KS-Train for this meeting after KDHE Preparedness announces the meeting date.
3. Coordinators should expect this meeting to take place either late in the third quarter or during the fourth quarter.

Item 7

Description of Task:

Dates TBD, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator must attend the quarterly Preparedness Regional Coordinator Training Meetings. length will be one day, and the location will be at KDHE in Topeka.

This new item will require all the coordinators to attend a training meeting once quarterly at KDHE in Topeka. This is to ensure that the state and the regions are properly aligned in their work plan objectives, conduct any training that the coordinators might need, create opportunities of the state to provide technical assistance on work plan items, and to provide any critical information he coordinators will need to take back to their regions. These meetings will be conducted in person at KDHE or via

webinar on the day of the meeting for those coordinators with distance as a challenge. The coordinator will need to ensure they are registered for each event once they are available on KS-TRAIN.

Compliance requirements:

1. KDHE Preparedness will review the sign-in sheets from these meetings to validate the coordinator's attendance.
2. The coordinator will need to ensure that they sign up for these events on KS-TRAIN once they are announced.

Item 8

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will participate in at least **one annual** exercise as a facilitator, player, or evaluator no later than **April 30, 2019**. Serving in an observer role does not meet the participation requirement.

Source: Capability 3: Emergency Operations Coordination

This work plan activity is designed to incorporate the regional coordinators into a role for one of the available exercises that are conducted throughout the budget period. The only real stipulation is the exercise will not count if the coordinator is only an observer.

Compliance requirement:

1. The coordinator will need to provide validation of attending an exercise either as a facilitator, player, or evaluator. Confirmation of this activity can be validated by providing the sign-in sheets from the attended exercise.
2. The coordinator will need to complete this requirement on or before **April 30, 2019**.

Item 9

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will review Local Health Department AAR/IP's to ensure the inclusion of specific exercise roles/responsibilities and improvement plan goals as outlined for each individual Health Department and that each capability tested outlines at least one strength and one area for improvement prior to submission to KDHE Preparedness and the Exercise Coordinator. Technical Assistance will be provided as needed.

- Include KDHE Exercise Coordinator on all email correspondence related to comments and/or concerns provided regarding the AAR/IP.
- Upon completion of the review, return the AAR/IP to the respective local health department for edits if necessary, and for submission to KDHE by the local health department.

Notes:

1. Contact the KDHE Exercise Coordinator to request approval of a designee to review AAR/IP's other than the Regional Coordinator or designated subject matter expert.
2. Record date(s) AAR/IP received, reviewed and returned to LHD on the TA form. If applicable, notate type of technical assistance provided.

As with previous years, this work plan item draws the coordinator into the approval chain for the AAR/IPs. It is designed to not only allow the coordinator the opportunity to aid and point out changes, it also allows the coordinator to make corrections to the format and information of the deliverable. This activity creates a new "first look" phase, allowing the coordinator to exercise some authority that should remain aligned with KDHE Preparedness's policies and procedures. This will help the coordinator improve their reviews and enable KDHE Preparedness to help speed the AAR/IPs through review and approval phases in less time.

Compliance requirements:

1. KDHE Preparedness needs to be included on all email communications related to the comments or concerns regarding the health department's AAR/IP.
2. The coordinator will return the reviewed AAR/IP with comments back to the originating department for changes or corrections (if applicable) so the originating department can submit it to KDHE Preparedness.
3. Approval needs to be gained for a designee to review a region's AAR/IPs. The approving authority is the KDHE exercise Coordinator.
4. All AAR/IP reviews need to be documented on the coordinator's technical assistance form. Notations need to be made identifying the type of assistance rendered. These are then provided to KDHE Preparedness on a quarterly basis.

Item 10

Description of Task:

By **June 30, 2019**, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will take the FEMA online PIO Training: KS-TRAIN Course #1030688 and provide proof of training.

Notes:

1. Upon completion submit proof of training or provide proof of KDEM training within the **last 5 years**. Other trainings will be reviewed on a case by case basis.

To improve the way the state relays emergency preparedness and public emergency related information to the public, it was identified that the way this information is presented needs to be standardized and needs to fall within the preparedness arena. The standards governing how information is delivered to the public during an incident is governed by Kansas emergency management practices and Kansas statute. Care must be taken to not overstep the authority of the local emergency manager. Therefore, this course will be conducted by KDEM. KDHE Preparedness will notify all the sub-awardees required to complete this course when it opens so they can sign up for it on KS-TRAIN.

Compliance requirements:

1. The coordinator or identified subject matter expert(s) need to ensure they sign up for this webinar on KS-TRAIN once it has been finalized as an event.
2. KDHE Preparedness will review the sign-in sheets and the webinar attendance data to validate the participation of coordinators.
3. The coordinators can submit a certificate for a previously completed KDEM course provided the training was completed within the last 5 years.

Item 11

Description of Task:

By **March 30, 2019**, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will participate in a KDHE webinar offering detailing proper use of social media in time of emergency.

This work plan activity is tied to Item 10. The training requirement for Item 10 assist the coordinator in understanding what the proper use of social media is during an emergency. KDHE Preparedness will announce the dates of this webinar and will notify the coordinators so they can sign up for the event on KS-TRAIN. This course is projected to be conducted in quarter 3.

Compliance requirements:

1. The coordinator or identified subject matter expert(s) need to ensure they sign up for this webinar on KS-TRAIN once it has been finalized as an event.
2. KDHE Preparedness will review the sign-in sheets and the webinar attendance data to validate the participation of coordinators.

Item 12

Description of Task:

Regional Coordinators will provide to KDHE Preparedness, information pertaining to the Performance Measures, Benchmark Requirements and/or any other requested information as related to the BP1 Supplemental Hospital Preparedness Program-Public Health Emergency Preparedness Cooperative Agreement.

Source: HPP-PM pg. 50-6

The purpose for this work plan activity is to provide the sub-awardee with the information that the state's federal project officers or other federal agency may request additional information regarding a benchmark activity or additional performance measure information that may or may not be tied directly to the work plan but is related to the current FOA for BP1 Supplemental.

This activity also allows for KDHE Preparedness Compliance to request additional documentation regarding the programmatic or fiscal documentation accuracy. In these instances, Compliance will ensure that the request is justified and that the justifications is stated within the additional information request. These requests will not be made lightly: the information will be needed

if Compliance to needs to strengthen the provided documents for a work plan activity, clarify information that was previously submitted but may be in conflict with other reported information, or maybe needed to help develop trending regarding progress towards the completion of certain programmatic activities.

Compliance requirements:

1. The coordinator will need to submit the requested information that is requested by either KDHE Preparedness Compliance Coordinator or other KDHE Preparedness staff member. KDHE Preparedness will provide the reason for the request as well as a deadline for the information to be provided to KDHE Preparedness.
2. The coordinator will need to report the dates this additional information was requested as part of the quarterly work plan activity updates if applicable.

Item 13

Description of Task:

Regional Coordinators or designated subject matter expert(s) for regions without a coordinator will:

- A. Keep contact information on KS-HAN up to date. (*Capability 6: Information Sharing*)
- B. Participate in KS-HAN drills. (*Capability 6: Information Sharing*)
- C. Retain copies of all certificates/proof of attendance for trainings completed by the Regional Coordinator or Subject Matter Expert during the entire project period for at **least 5 years**. (*Administrative*)
- D. Regionally purchased and maintained equipment must have an available signed shared resource agreement(s). (*Capability 1: Community Preparedness*)
- E. Maintain an always-on high-speed internet connection. (*Capability 3: Emergency Operations Coordination*)
- F. Maintain accurate information for a 24/7 calling tree and an updated Activation Protocol, which describes who will be called and the events that will trigger activation levels for the region. (*Capability 3: Emergency Operations Coordination*)
- G. Retain copies of expenditure reports, including invoices for each capital equipment purchase, for a period of at least five years. Capital equipment includes purchases of \$5,000 and above and/or with a lifespan of greater than a year. (*Administrative*)
- H. Enter all items purchased with PHEP funding into CRMCS. (*Administrative*)
- I. Attend or monitor minutes of the regional Homeland Security Council meetings. Pass along all pertinent information for situation awareness. (*Capability 1: Community Preparedness*)

Notes:

1. Reference the following instructions

Source: Refer to the listed capability or performance measure referenced at the end of each activity for this work plan item.

The work activities for Item 13 remain largely unchanged for this budget period. All of these activities represent annual “housekeeping” tasks that should be done during the budget period to either maintain a certification, calibration, or provide procedural changes that may have implemented during the year. Many of these items may be administrative in nature yet are still important for ensuring the

regional coordinator is prepared and maintaining the proper documentation in case of audit by KDHE Preparedness or another outside authorized federal agency. It is recommended that these activities be completed at roughly the same time every budget period. There are a few items to note:

13C- The need to retain documentation is a growing need regarding the completion of several of the programmatic activities of the work plan. As previously stated and stressed, KDHE Preparedness is not the sole audit and review authority for this cooperative agreement. Preparedness Compliance will issue warnings regarding upcoming audits and reviews, the federal agencies may not. The importance of having the proper document retention and having that documentation available to everyone is a real issue. This is the reason for the emphasis that is being placed on this work plan item. Items 13G and 13H are also related to this work plan activity.

13G- In order for the coordinators to be compliant with requirements outlined in 13C, all purchase records need to be retained for a period no less than five (5) years. It is recommended that these records be retained electronically as PDF files to save on physical space. It is also recommended that these records be “backed up” on a stable digital storage medium such as a flash drive or CD. This work plan activity works in concert with Item 13C and 13H.

13H- This activity is geared towards accurately inventorying and the monitoring all items that are purchased with PHEP funding to be added to the CRMCS inventory for the equipment within the region. This activity, coupled with 13D and 13G serve in lockstep to help monitor and manage the region’s PHEP inventory.

Compliance requirements:

This work plan section will review whether or not the sub-awardees are ensure that all annual activities are completed no later than **June 30, 2019** or unless otherwise instructed. Additional requests will be made if the state’s federal project officers or other agency makes a request for it. Compliance will be asking to review the following work plan sub-items towards the end of fourth quarter of the budget period:

1. **13C-** Compliance will be requesting copies of all certificates for certifications and courses that were completed over the course of the project period. Compliance will be focusing on those courses and certifications completed during the current budget period.
2. **13H-** Compliance will be requesting a copy of the CRMCS inventory for the budget period. It is preferred that the copy be the one that was taken at the time of the region’s CRMCS update.

2.2 Budget Period Benchmarks

At this time there are two benchmarks that must be completed during this budget period. Details regarding these activities can be found in the *Work Plan Overview* above. These benchmarks are:

Item 10- By **June 30, 2019**, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will take the FEMA online PIO Training: KS-TRAIN Course #1030688 and provide proof of training.

Item 11- By **March 30, 2019**, Regional Coordinators or designated subject matter expert(s) for regions without a coordinator, will participate in a KDHE webinar offering detailing proper use of social media in time of emergency.

2.3 Budget Period Deadlines

The listed deadlines for this budget period are limited to the following activities. For each item's compliance requirements, please refer to the *Work Plan Overview* details:

Item 3- The completion of the *Annual Plan of Action* on or before **September 30, 2018**.

Item 6- The regional coordinators or their designated subject matter experts for the regions without a coordinator must attend the MYTEP on the date to be announced by KDHE Preparedness.

Item 8- The regional coordinators or the designated subject matter expert(s) for regions without a coordinator will participate in at least one annual exercise as a facilitator, play or evaluator on or before **April 30, 2019**.

Item 10- The regional coordinators or designated subject matter expert(s) for regions without a coordinator, will take the FEMA online PIO Training and on or before **June 30, 2019**.

Item 11- The regional coordinators or designated subject matter expert(s) for regions without a coordinator, will participate in a KDHE webinar offering detailing proper use of social media on the date to be announced by KDHE Preparedness.

3. Summary

This document will hopefully provide the contracted coordinators and the healthcare coalition member organizations the information needed to be successful during this budget period. Communication is a key to any success venture and this guidance document has provided the needed information required to be compliant with the budget period 1 supplemental work plan activities.

A few keys points to remember are:

- *Time management-* a majority of the work plan activities have due dates that are required by the federal project officers to be kept. Missing a deadline could result in a punitive action being levied against the coalition.
- *Document retention-* all documents that are generated as part of the completion of these work plan activities are to be legitimate outcomes that can be requested for review or audit. It is important that these documents be maintained either in a hardcopy or digital form for no less than **5 years**, so they can be called upon to show compliance if needed.
- *Work plan instructions-* there is an increased burden of validation on KDHE Preparedness to ensure that the cooperative agreement funds is being spent to further preparedness. This also includes ensuring that the activities are completed per the directions of the FOA or its associated supplemental documents. In the case of one of the work plan activities, there is Kansas statute and related practices that must be strictly adhered to. The instructions are provided to keep the coalitions properly de-conflicted with the state law and still meet the intent of the FOA objective.

Questions regarding these stipulations need to be directed to KDHE Preparedness staff before anyone else due to legality issues that might arise from violating Kansas statute.

- *Communication-* the member organization are encouraged to contact their coordinator or KDHE Preparedness if they are seeking clarification on an activity or an answer regarding procedure. All questions are welcome and will be answered accordingly. If there is a answer that can't be answered by KDHE Preparedness, the federal project officer will be queried. The Preparedness staff can't answer a question if it is not asked nor can they guess at what the questions might be.

As always, KDHE Preparedness stands ready to assist our sub-awardees and outside agency stakeholders in understanding and interpreting the budget period requirements and the work plan activities.

The 2018-2019 KDHE Preparedness Team

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Table 5

Appendix A

Guidance Document Glossary

Affidavit of Expenditure (AOE) - A form that indicates the partner's intention to spend Grant funds and in what manner. These are usually followed up on with invoices to prove that the monies were spent.

Awardee or Pass-Through Entity – is the eligible entity, in this case KDHE, that carries out an approved project or activity in support of a public purpose and not the direct benefit of the government. KDHE manages oversight on this cooperative agreement as well as provides direction and monitors progress of the activity in its entirety.

Budget Period (BP) - a 1-year period that goes from 1 July to 30 June. 5 budget periods typically make up one Project Period (PP).

Centers for Disease Control and Prevention (CDC) – the managing agency for the Public Health Emergency Preparedness program (PHEP) which is part of the cooperative agreement.

Compliance - Compliance is an evaluation by a compliance coordinator to assess an institution's business and financial management systems to ensure that established regulations and policies are being followed by either the institution or its external partners. ***Compliance is also the term used to describe KDHE's Preparedness Program's Compliance Program and or the Program Coordinator.***

Compliance in Real Time (CRT) – is a real time monitoring feature of PCACP which allows for quarterly reviews of work plan activity progress or review of work plan activities that have a deadline requirement as defined by the work plan activity and the FOA.

Compliance Review/Audit- A Review or audit of the partner's adherence to the requirements of the work plan and the partner's fiscal accountability as defined by the HPP and PHEP Cooperative Grant. Reviews will be performed at least once annually and is broken into the PHEP Review and HPP/HCC Review. A Review may be conducted if the partner's historical trending mandates an out-of-cycle Review. The same condition may apply with the term of ***Compliance Audit***. ***Note- change with the new project period may necessitate the need to use the term review to reflect an un-focused snapshot of the sub-recipient's progress and audit to reflect the annual compliance requirement.***

Cooperative agreement - is an agreement in which the Federal Government provides funding, or a thing of value authorized by public statute and the government plays a substantial role. A cooperative agreement is a form of assistance. It reflects a relationship between the U.S. Government and a recipient.

Department of Health and Human Services (HHS)- serves to enhance and protect the health and well-being of all Americans. This mission is fulfilled by providing effective health and human services and fostering advances in medicine, public health, and social services.

External Partners- Any entity that accepts federal funding under the HPP and PHEP Cooperative Grant and is charged with Preparedness for a Community Hospital, Healthcare Coalition management, Local Public Health Department or Public Health Region. These entities will be referred as ***External Partners, Partners sub-awardees or, as decreed by the language of the new project period: sub-recipient.***

Finding(s) - An identified or observed short coming or oversight in fulfilling the requirements of a regulation, policy or procedure. Findings can either be identified by the external partner as a way to acknowledge an existing oversight or problem or can be discovered by Compliance during the course of a Review.

Funding Opportunity Announcement (FOA) - is a notice in *Grants.gov* of a federal grant funding opportunity. Also known as a ***Notice of Funding Opportunity Announcement*** or ***NoFO***.

Hospital Preparedness Program (HPP) - This program represents the preparedness effort that is conducted at the community hospital level and at the level of a larger community or coalition.

Homeland Security Exercise and Evaluation Program (HSEEP) - provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning. HSEEP exercise and evaluation doctrine is flexible, adaptable, and is for use by stakeholders across the whole community and is applicable for exercises across all mission areas – prevention, protection, mitigation, response, and recovery.

Kansas Department of Health and Environment (KDHE) – is the Kansas agency that is the designated pass-through agency for the cooperative agreement. KDHE, as the awardee, is charged with executing and managing the requirements of the cooperative agreement for the state’s sub-awardees.

Kansas Division of Emergency Management (KDEM) – is a division of the Kansas Adjutant General’s Office charged with managing disasters within the State. This is emergency management division is supported by state statute.

Notice of Award (NoA) - is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. The NoA is issued for the initial budget period and each subsequent budget period in the approved project period

Notice of Funding Opportunity (NoFO) - is a notice in *Grants.gov* of a federal grant funding opportunity. Also known as a ***Funding Opportunity announcement*** or ***FOA***.

Office of the Assistant Secretary for Preparedness and Response (ASPR) -

Preparedness Cooperative Agreement Compliance Program (PCACP) - The evolution of the program formerly known as the Grants Compliance Review Program or GCRP. Name change reflects the shift of the funding being referred to as a “cooperative agreement: rather than a “grant”. The designation change also marks the changes implemented for the new project period and the build number.

Preparedness Cooperative Agreement Funding Agreement - also referred to as *the Preparedness Grant Funding Agreement*.

Project Period (PP) - typically a five-year period of work plan covered by the requirements of a single FOA.

Public Health Emergency Preparedness Program (PHEP) -

Sub-awardee – are made up of the local health departments, regional PHEP regions, and the healthcare coalitions within the boundaries of the State of Kansas. They are non-Federal entities that expend

Federal awards received from a pass-through entity to carry out a Federal program but does not include an individual that is a beneficiary of such a program.

Work Period - see ***Budget Period***.

Work Plan - is an outline of a set of goals and processes by which a team, organization, and/or person can accomplish those goals and offering a better understanding of the scope of the project.

Work Plan Activity – are the objectives of the work plan. They are comprised of one or more tasks that need to be completed to complete the activity.

Appendix B

References and Resources

From KDHE

The Kansas Department of Health and Environment
<http://www.kdheks.gov/>

KDHE Preparedness
<http://www.kdheks.gov/cphp/index.htm>

KDHE Preparedness: HPP Resources
http://www.kdheks.gov/cphp/hospital_resources.htm

KDHE Preparedness: Healthcare Coalitions
<http://www.kdheks.gov/cphp/hcc.htm>

KDHE Preparedness: Standard Operating Guides (SOGs)
http://www.kdheks.gov/cphp/operating_guides.htm

KDHE Preparedness: Exercise Library
<http://www.kdhe-exercises.org/ExerciseLibrary.htm>

KDHE Preparedness Performance Tracking and Annual Scorecard Template-PHEP
Pending

KDHE Preparedness Performance Tracking and Annual Scorecard Template-Regional PHEP
Pending

KDHE Preparedness Performance Tracking and Annual Scorecard Template-HCC
Pending

KDHE Preparedness Performance Tracking and Annual Scorecard Template-CRI
Pending

KDHE Preparedness: PCACP-CRT Quarterly Audit Tool
Pending

KDHE Preparedness: HSEEP Exercise Template
Pending

KDHE Approved HCC Response Plan Template
http://www.kdheks.gov/cphp/operating_guides.htm

KS-HAN: Everbridge Log on
<https://manager.everbridge.net/login>

KS-TRAIN

<https://www.train.org/ks/home>

CRMCS Home page

<http://kansas.responders.us/>

From the Federal Partners

Office of the Assistant Secretary for Preparedness and Response (ASPR)

<https://www.phe.gov/about/aspr/pages/default.aspx>

ASPR-TRACIE (Technical Resources Assistance Center Information Exchange)

<https://asprtracie.hhs.gov/>

2017-2022 HPP-PHEP Cooperative Agreement CDC-RFA-TP17-1701

(PDF)

https://www.cdc.gov/phpr/readiness/00_docs/PHEP-Funding-CDC-RFA-TP17-1701.pdf

2017-2022 Health Care Preparedness and Response Capabilities

<https://www.phe.gov/Preparedness/planning/hpp/reports/Documents/2017-2022-healthcare-pr-capabilities.pdf>

2017-2022 Hospital Preparedness Program: Performance Measures Implementation Guidance

<https://www.phe.gov/Preparedness/planning/hpp/reports/Documents/hpp-pmi-guidance-2017.pdf>

Coalition Surge Test: An exercise for Assessing and Improving Health Care Coalition Readiness

<https://www.phe.gov/Preparedness/planning/hpp/Documents/cst-manual-020717.pdf>

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